



PTO/SB/01A (08-03)

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### DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention **Novel Bicyclic Compounds and Compositions**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 10/776,946, filed on 02/11/2004,
- ☐ as amended on \_\_\_\_\_ (if applicable):

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application.

All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

#### FULL NAME OF INVENTOR(S)

Inventor one: Shifeng Fan

Signature: [Signature]

Citizen of: People's Republic of China

Inventor two: Nathanael S. Gray

Signature: [Signature]

Citizen of: US

Inventor three: Yuan Mi

Signature: [Signature]

Citizen of: People's Republic of China

Inventor four: Weng Gao

Signature: [Signature]

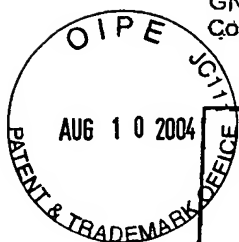
Citizen of: People's Republic of China

☒ Additional inventors or a legal representative are being named on 1 additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

GNF Docket No. P1091US30  
Confirmation No. 4267



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Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

### Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence for U.S. Patent Application No. 10/776,946, filed February 11, 2004 in re Shifeng Pan, et al. is being facsimile transmitted to the United States Patent and Trademark Office at facsimile number (703) 746-4060 on August 10, 2004.

Date

*Jill R. Clarke*

Signature

Jill R. Clarke

Typed or printed name of person signing Certificate

Customer No. 29490  
Genomics Institute of the Novartis Research Foundation  
Telephone: 858-812-1855  
Fax: 858-812-1981

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

#### Attachments:

1. Form PTO/SB/21 Transmittal Form with one month extension of time requested (1 pg.);
2. Fee Transmittal for FY 2004 with authorization to charge Deposit Account No. 50-1885 in the amount of \$130 for late declaration surcharge and \$110 for one month extension of time (1 pg. + 1 pg. copy);
3. Executed inventor Declaration (2 pgs.);
4. Photocopy of executed Power of Attorney from Assignee IRM LLC to Timothy L. Smith (1 pg.);
5. Executed Statement Under 37 CFR 3.73(b) (1 pg.);
6. Photocopy of executed Assignment from Shifeng Pan, Nathanael S. Gray, Yuan Mi, Wenqi Gao, Yi Fan, and Sophie Lefebvre to IRM LLC (7 pgs.);
7. Executed Power of Attorney and Correspondence Address Indication Form (1 pg.);
8. Photocopy of Notice to File Missing Parts of Nonprovisional Application (2 pgs.); and

Total pages (including this paper): 18

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN  
APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention** Novel Bicyclic Compounds and Compositions

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/776,946, filed on 02/11/2004,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/ we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

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All statements made herein of my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one: Shifeng Pan

Signature: [Signature]

Citizen of: People's Republic of China

Inventor two: Nathanael S. Gray

Signature: [Signature]

Citizen of: US

Inventor three: Yuan Mi

Signature: [Signature]

Citizen of: People's Republic of China

Inventor four: Wengji Gao

Signature: [Signature]

Citizen of: People's Republic of China

☒ Additional inventors or a legal representative are being named on 1 additional form(s) attached hereto.

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If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

AUG 10 2004

PTO/SB/98 (09-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Shifeng PanApplication No./Patent No.: 10/776,948Filed/Issue Date: 02/11/2004Entitled: NOVEL BICYCLIC COMPOUNDS AND COMPOSITIONSIRM LLCa corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title, and interest

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

August 3, 2004

Date

858-812-1547

Telephone Number

Timothy L. Smith

Typed or printed name

[Signature]

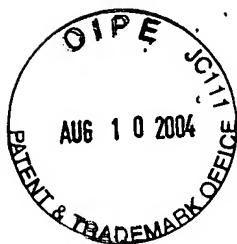
Signature

General Power of Attorney

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. Patent Application No. 10/776,946  
Inventors: Shifeng Pan, et al.  
Docket No. P1091US30

## ASSIGNMENT

In return for good and valuable consideration paid to the undersigned inventor(s) (hereafter called the "ASSIGNOR"), by:

IRM, LLC.  
c/o Sofia House  
48 Church Street  
Hamilton HM LX, Bermuda

(hereinafter ASSIGNEE), the receipt of which is hereby acknowledged, the undersigned ASSIGNOR(s) hereby sells, assigns and transfers to ASSIGNEE his entire right, title and interest to the invention entitled:

### NOVEL BICYCLIC COMPOUNDS AND COMPOSITIONS

For which application for Letters Patent of the United States was filed on February 11, 2004 as Application No. 10/776,946 and all Letters Patent of the United States to be obtained therefor on said application or any continuation, divisional, substitute, reissue or reexamination, or foreign counterpart thereof for the full term or terms for which the same may be granted.

The ASSIGNOR(s) agrees to execute all papers necessary in connection with the application and any continuation, divisional, substitute, reissue or reexamination applications thereof or corresponding foreign applications, and also to execute separate assignments in connection with such applications as the ASSIGNEE may deem necessary or expedient and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

The ASSIGNOR(s) agrees to execute all papers necessary in connection with any interference, litigation, or other legal proceeding, which may be declared concerning this application or any continuation, divisional, substitute, reissue or reexamination thereof, or corresponding foreign applications, and also to cooperate with the ASSIGNEE in every way possible in obtaining evidence and going forward with such interference, litigation, or other legal proceeding.

The ASSIGNOR(s) agree to perform all affirmative acts which may be necessary to obtain a grant of valid United States or foreign patents to the Assignee.

The ASSIGNOR(s) hereby authorizes and requests the Commissioner of Patents and the authorities of foreign country to issue any and all Letters Patents resulting from said application or any continuation, divisional, substitute, reissue or reexamine applications thereof, or foreign applications, to the said ASSIGNEE, as assigned of the entire interest, and hereby covenants that

U.S. Patent Application No. 10/776,946  
Inventors: Shifeng Pan, et al.  
Docket No. P1091US30

it has full right to convey the entire interest herein assigned, and that they have not executed and will not execute, any agreement in conflict herewith.

The ASSIGNOR(s) hereby grant SCOTT W. REID. Reg. No. 48,097, HUGH WANG Reg. No. 47,163, TIMOTHY L. SMITH Reg. No. 35,367, and all other attorneys employed by The Genomics Institute of the Novartis Research Foundation, which has a business address of 10675 John Jay Hopkins Drive, San Diego, CA 92121, the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

WITNESS my hand at San Diego, CA, this 12<sup>th</sup> day of July, 2004.

  
Shifeng Pan

STATE OF CALIFORNIA )

ss.

COUNTY OF SAN DIEGO )

On July 12, 2004, before me, the undersigned Notary Public, personally appeared Shifeng Pan.

✓ personally known to me

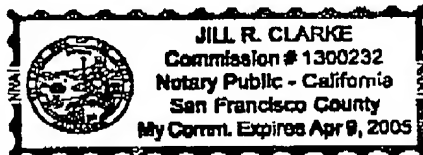
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

  
Notary Public



U.S. Patent Application No. 10/776,946  
Inventors: Shifeng Pan, et al.  
Docket No. P1091US30

WITNESS my hand at San Diego, California this 12th day of July, 2004.

Nathanael S. Gray  
Nathanael S. Gray

STATE OF CALIFORNIA )

33.

COUNTY OF SAN DIEGO )

On July 12, 2004, before me, the undersigned Notary Public, personally appeared Nathanael S. Gray.

personally known to me

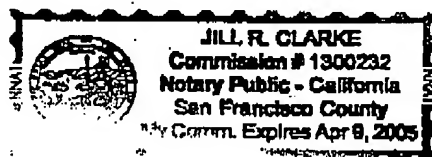
**or**

proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Julie Clark  
NOTARY PUBLIC



U.S. Patent Application No. 10/776,946  
Inventors: Shifeng Pan, et al.  
Docket No. P1091US30

WITNESS my hand at San Diego, California, this 23<sup>rd</sup> day of July, 2004.

Yuan Mi

STATE OF CALIFORNIA )

) SS.

COUNTY OF SAN DIEGO )

On July 23, 2004, before me, the undersigned Notary Public, personally appeared Yuan Mi.

✓ personally known to me

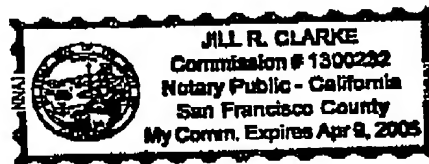
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
NOTARY PUBLIC





U.S. Patent Application No. 10/776,946  
Inventors: Shifeng Pan, et al.  
Docket No. P1091US30

WITNESS my hand at San Diego, California this 27 day of  
July, 2004.

Wenqi Gao  
Wenqi Gao

STATE OF CALIFORNIA )

) ss.

COUNTY OF SAN DIEGO )

On July 27, 2004, before me, the undersigned Notary Public, personally appeared Wenqi Gao.

personally known to me

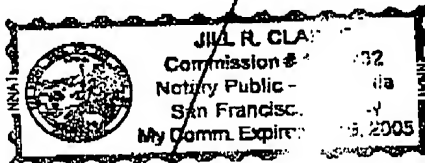
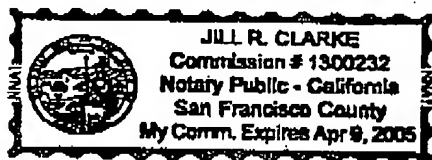
or

proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
NOTARY PUBLIC



U.S. Patent Application No. 10/776,946  
Inventors: Shifeng Pan, et al.  
Docket No. P1091US30

WITNESS my hand at San Diego, CA, this 27 day of  
July, 2004.

Yi Fan  
Yi Fan

STATE OF CALIFORNIA )

)

ss.

COUNTY OF SAN DIEGO )

On July 27, 2004, before me, the undersigned Notary Public, personally appeared Yi Fan.

                     personally known to me

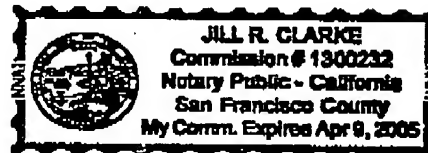
or

                     proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
NOTARY PUBLIC

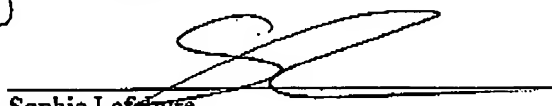


U.S. Patent Application No. 10/776,946

Inventors: Shifeng Pan, et al.

Docket No. P1091US30

WITNESS my hand at San Diego, CA, this 14<sup>th</sup> day of July, 2004.

  
Sophie Lefebvre

STATE OF CALIFORNIA )

SS.

COUNTY OF SAN DIEGO )

On July 14, 2004, before me, the undersigned Notary Public, personally appeared Sophie Lefebvre.

\_\_\_\_\_ personally known to me

or

\_\_\_\_\_ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon before of which the person acts, executed the instrument.

WITNESS my hand and official seal.

Jill R. Clarke  
NOTARY PUBLIC

